

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JC825 U.S. PTO
10/079668
02/20/02

In re Application of: Shrenik Deliwal^a : Attorney Docket No.: 53168-500301D6
Serial No.: Not yet known :
Filed: February 20, 2002 :
For: INTEGRATED OPTICAL/ELECTRONIC :
CIRCUITS AND ASSOCIATED :
METHODS OF SIMULTANEOUS :
GENERATION THEREOF :

*#4
5/30/02
M. Predego*

INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §§ 1.56 ET SEQ.

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. § 1.97(b), the above-identified Applicants cite the following patents and publications, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. In compliance with 37 C.F.R. § 1.98(d), copies of the patents and publications set forth below and listed on the attached Forms PTO-1449 and PTO/SB/08A (5 sheets) have not been provided because they were cited in grand parent application no. 09/859,693 or parent application no. 09/991,542.

EXPRESS MAIL CERTIFICATE (37 C.F.R. § 1.10)

Express Mail Label No. EL931061738US

Date of Deposit February 20, 2002

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Name Daniel H. Golub

Signature



| Patent No. | Patentee | Issue Date |
|--------------|-----------------------|-----------------|
| 6,177,685 B1 | Teraguchi et al. | January, 2001 |
| 6,188,818 B1 | Han et al. | February, 2001 |
| 6,166,846 | Maloney | December, 2000 |
| 6,075,908 | Paniccia et al. | June, 2000 |
| 6,122,419 | Kurokawa | September, 2000 |
| 5,864,642 | Chun et al. | January, 1999 |
| 5,872,360 | Paniccia et al. | February, 1999 |
| 5,835,646 | Yishimura et al. | November, 1998 |
| 5,696,862 | Hauer et al | December, 1997 |
| 4,677,783 | Cratsa | July, 1987 |
| 5,638,469 | Feldman et al. | June, 1997 |
| 5,629,838 | Knight et al. | May, 1997 |
| 5,625,729 | Brown | April, 1997 |
| 5,625,636 | Bryan et al. | April, 1997 |
| 5,605,856 | Goosen et al. | February, 1997 |
| 5,568,574 | Tanguay, Jr. et al. | October, 1996 |
| 5,502,779 | Magel | March, 1996 |
| 5,485,021 | Abe | January, 1996 |
| 5,434,434 | Kasahara et al. | July, 1995 |
| 5,432,630 | Lebby et al. | July, 1995 |
| 5,400,419 | Heinen | March, 1995 |
| 5,198,684 | Sudo | March, 1993 |
| 5,159,700 | Reid, deceased et al. | October, 1992 |
| 5,153,770 | Harris | October, 1992 |
| 5,061,027 | Richard | October, 1991 |
| 4,966,430 | Weidel | October, 1990 |
| 4,939,793 | Stewart | July, 1990 |
| 4,917,450 | Pocholle | April, 1990 |
| 4,871,224 | Karstensen | October, 1989 |
| 4,865,427 | Kingston et al. | September, 1989 |
| 4,761,620 | Bar-Joseph et al. | August, 1988 |
| 4,758,092 | Heinrich et al. | July, 1988 |
| 4,695,120 | Holder | September, 1987 |
| 4,422,088 | Gfeller | December, 1983 |

| Patent Appl. Publication No. | Patentee/Applicant | Publication Date |
|------------------------------|--------------------|------------------|
| US 2001/0031112 A1 | Frish et al. | October 18, 2001 |
| US 2001/0031113 A1 | Frish et al. | October 18, 2001 |

Other References

Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, *Journal of Lightwave Technology*, Vol. 18, No. 12, December 2000.

Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, *Journal of Lightwave Technology*, Vol. 12, No. 10, October 1994.

Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000.

Robert Shi and Tomasz Jannson, *Optical Interconnection Foundations and Applications*, Chapter 5, Integrated Optical Waveguide Routing—Micro-optics, Artech House, pp. 141-225.

Amalia N. Miliou et al., A 1.3- μ m Directional Coupler Polarization Splitter by Ion Exchange, *Journal of Lightwave Technology*, Vol. 11, No. 2, February 1993.

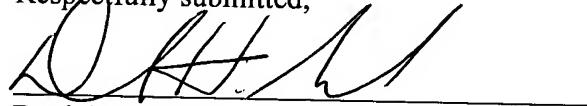
Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, *Journal of Lightwave Technology*, Vol. 12, No. 9, September 1994.

Applicants respectfully request that these items be considered by the Examiner, and that the Examiner acknowledge consideration of these references by initialing and returning copies of the enclosed Forms PTO-1449 and PTO/SB/08A with the next official action.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention or otherwise material to the patentability of this invention as defined in 37 C.F.R. § 1.56.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(b) exists.

Respectfully submitted,



Daniel H. Golub
Reg. No. 33,701
Attorney for Applicant

MORGAN, LEWIS & BOCKIUS LLP
1701 Market Street
Philadelphia, PA 19103-2921
215.963.5055

Dated: February 20, 2002